

**GUIDING PRINCIPLES IN DEVELOPING OPTIONS BY THE
DHS HUMAN RESOURCES MANAGEMENT SYSTEMS DESIGN TEAM**

Options for new human resources systems for the Department of Homeland Security must ensure, first and foremost, that such systems are mission-centered. Such systems must be performance-focused, contemporary, and excellent. They must generate respect and trust; they must be based on the principles of merit and fairness embodied in the statutory merit system principles; and they must comply with all other applicable provisions of law. In addition, the process for developing these options must be collaborative, reflecting the input of managerial and non-managerial employees at all levels in DHS and of employee unions.

GUIDING PRINCIPLES	EXPLANATION	SOURCE
Mission Centered	Options must support the primary mission of DHS, as set forth in sec. 101(b)(1) of the Homeland Security Act, which includes: <ul style="list-style-type: none"> • preventing terrorist attacks within the U.S. • reducing the vulnerability of the U.S. to terrorism • minimizing damage and assisting in the recovery from terrorist attacks in the U.S. • carrying out all other functions of entities transferred to DHS 	<ul style="list-style-type: none"> • HRMS must “support . . . the mission” (Secretary Ridge) • HRMS must be “responsive to the mission of the agency” and “bring the federal team together in one cohesive agency with a clear focus and mission: protecting America.” (Director James)
Performance Focused	Options must: <ul style="list-style-type: none"> • foster high performance • ensure that high performance is recognized, rewarded, and reinforced • hold employees accountable at all levels • ensure that performance management systems make meaningful distinctions in performance 	<ul style="list-style-type: none"> • HRMS must be “performance-based.” (Secretary Ridge) • “We must hold people accountable for their performance at every level.” (Secretary Ridge)
Contemporary and Excellent	Options must enable DHS to: <ul style="list-style-type: none"> • attract, retain, and motivate a world-class workforce both now and in the future • be responsive to external factors such as changing mission, demographics, and increasing private sector competition for highly skilled employees • effectively address emerging human capital issues • foster greater use of automated systems to support HR processes • encourage innovative structures for performing work—e.g., teams 	<ul style="list-style-type: none"> • HRMS must be “contemporary.” (Homeland Security Act) • “We have an opportunity and a responsibility to create a 21st century personnel system” (Secretary Ridge) • “We have a chance to build a Department of Homeland Security that stands as a model of excellence” (Secretary Ridge) • “We will create a model Human Resource program” (Director James) • HRMS must be “flexible.” (Homeland Security Act; Secretary Ridge) • “We need flexibility to replace antiquated, outmoded, out of date systems with 21st Century systems agile enough to respond to 21st Century threats.” (Director James)

<p>Generate Respect and Trust</p>	<p>Options must build and sustain high levels of respect and trust among all DHS employees by creating systems that are:</p> <ul style="list-style-type: none"> • credible • transparent • rational • as complex as necessary, but as simple as possible 	<ul style="list-style-type: none"> • HRMS must “support . . . all of the people of DHS.” (Secretary Ridge) • We must “give employees a world class organization . . . that is as focused and committed to protecting our homeland as they are.” (Director James) • HRMS must create an environment where employees can succeed and people want to work. (NTEU) • HRMS must develop leadership at all levels. (AFGE) • HRMS must have credible systems and processes. (NTEU) • HRMS must build mutual respect and trust between employees and supervisors. (NAAE) • “Employees can expect to be treated with respect.” (Director James) • HRMS must ensure respect for employees and their representatives. (NTEU)
<p>Based on Merit System Principles and Fairness</p>	<p>Options must continue to focus on the core values of public service by:</p> <ul style="list-style-type: none"> • adhering to the merit system principles set forth in 5 U.S.C. 2301 • incorporating safeguards to prevent the commission of any prohibited personnel practice defined in 5 U.S.C. 2302 or any other abuse • supporting diversity • providing the protections of due process • ensuring fair treatment in and efficient and expeditious resolution of appeals 	<ul style="list-style-type: none"> • HRMS must not waive, modify, or otherwise affect “public employment principles of merit and fitness.” (Homeland Security Act) • “We must preserve and protect basic civil service principles.” (Secretary Ridge) • HRMS must be “fair.” (NTEU, NAAE) • “This Administration will vigorously support adherence to merit system principles and relentlessly pursue those who commit prohibited personnel practices.” (Director James) • HRMS must support a diverse workforce. (NAAE) • “[E]mployees of the Department are entitled to fair treatment in any appeals . . .” In prescribing regulations, the Secretary and the Director of OPM “should ensure that employees . . . are afforded the protections of due process.” (Homeland Security Act) • “Any regulations . . . shall provide . . . for the expeditious handling of any matters involving the Department . . . and shall modify procedures . . . to further the fair, efficient, and expeditious resolution of matters involving the employees of the Department.” (Homeland Security Act)